

## Exhibit 300: Capital Asset Plan and Business Case Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview

1. **Date of Submission:** 2011-02-28

2. **Agency:** 393

3. **Bureau:** 00

4. **Name of this Investment:** Expanding NARA Online Services (ENOS)

5. **Unique Project (Investment) Identifier (UPI):** 393-00-01-04-01-0005-00

6. **What kind of investment will this be in FY 2012?:** Operations and Maintenance

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. **What was the first budget year this investment was submitted to OMB?** FY2003

8.

- a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

The Expanding NARA Online Services (ENOS) program supports online ordering and fulfillment of non-electronic record reproductions and enables NARA services to be requested electronically by external customers using the internet. It incorporates fulfillment functionality through the Siebel Order Fulfillment Application (SOFA). This enables NARA staff and authorized contractors (acting as NARA agents) to track the processing of customer orders and requests. This effort is aligned to our GPEA Implementation Plan, which lists 50 business transactions (conducted with the public and Government agencies) that could be offered on our Web site. NARA established (ENOS) to manage this multi-year effort. ENOS has an E-Government Program to oversee NARA's annual GPEA commitments and to ensure the quality implementation of new automated Web-based services. An Operational Analysis was conducted in June 2009 as part of the steady state investment. The results of the study indicate that ENOS continues to be effective in meeting customer's needs, improving service, and meeting performance goals and objectives; is available and reliable; and meets the agency's strategic goals and business needs.

- b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
Privacy Impact Assessment, Name of Project: NARA Online Ordering System	<a href="http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/orderonline-pia.pdf">http://www.archives.gov/foia/privacy-program/privacy-impact-assessments/orderonline-pia.pdf</a>

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**  
2010-09-07
- b. **Provide the date of the most recent or planned approved project charter.** 2009-12-04

**10. Contact information?**

a. **Program/Project Manager Name:** \*

**Phone Number:** \*

**Email:** \*

b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** Sharon Thibodeau

**Phone Number:** \*

**Email:** \*

**11. What project management qualifications does the Project Manager have? (choose only one per**

**FAC-P/PM or DAWIA):** Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

## Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding

(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

**Table I.B.1: Summary of Funding**  
**(In millions of dollars)**

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 7

3. Insert the number of years covered in the column “BY+4 and beyond”: \*

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

\*

## Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Competed	Short description of acquisition
Awarded	8800	<a href="#">NAMA-07-F-0111</a>	GS-35F-0051K		*	*	\$31.5	Combination (two or more)	N	2007-09-10	2011-09-16	Y	Please NOTE: NOT AWARDED CLIN 63 from original PWS -- PWS Section 5.6 Siebel Upgrade NOT AWARDED, because awardee did not price this, and it was determined that pricing it four years out is not feasible. The Siebel Upgrade will be COMPETED, NOT performed under this contract. CLIN 63 was changed to RESERVED.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
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2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

\*

3.

- a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow \*
- b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 \*
- c. Was the Acquisition Plan approved in accordance with agency requirements \*
- d. If "yes," enter the date of approval? \*
- e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? \*
- f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? \*
- g. If an Acquisition Plan has not been developed, provide a brief explanation.

\*

## Part II: IT Capital Investments

### Section A: General

1.
  - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. yes
  - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education.
  
2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. We are collecting statistical data relating to the usage and performance of our application servers, which we will use to evaluate cloud computing alternatives.
  
3. Provide the date of the most recent or planned Quality Assurance Plan 2010-08-10
  
4.
  - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment.  
393-00-01-04-01-0031-00,393-00-01-04-01-0004-00,393-00-01-04-01-0038-00
  - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s).  
393-00-01-01-01-0012-00,393-00-02-00-01-0008-00,393-00-01-04-01-0031-00,393-00-01-04-01-0004-00,393-00-01-04-01-0038-00
  
5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 2006-10-30
  
6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2010-06-01

## Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Planning	DME	*	\$3.8	\$3.8	2002-10-01	2002-10-01	2006-12-31	2006-12-31	100.00%	100.00%
Acquisition	DME	*	\$8.5	\$8.5	2002-10-01	2002-10-01	2007-09-30	2007-09-30	100.00%	100.00%
Operations and Maintenance during Development	SS	*	\$3.4	\$3.4	2003-12-15	2003-12-15	2007-09-30	2007-09-30	100.00%	100.00%
FY 2008 Operations and Maintenance	SS	*	\$0.8	\$0.8	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
FY 2009 Operations and Maintenance	SS	*	\$0.8	\$0.8	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
FY 2010 Operations and Maintenance	SS	*	\$0.8	\$0.8	2009-10-01	2009-10-01	2010-09-30	2010-09-30	100.00%	100.00%
FY 2011 Operations and Maintenance	SS	*	\$0.6	\$0.5	2010-10-01	2010-10-01	2011-09-30		75.00%	75.00%
FY 2012 Operations and Maintenance	SS	*	\$0.6		2011-10-01		2012-09-30		0.00%	0.00%
FY 2013 Operations and Maintenance	SS	*	*	*	2012-10-01	*	2013-09-30	*	*	*
FY 2014 Operations and Maintenance	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*
FY 2015 Operations and Maintenance	SS	*	*	*	2014-10-01	*	2015-09-30	*	*	*
FY 2016 Operations and Maintenance	SS	*	*	*	2015-10-01	*	2016-09-30	*	*	*



Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
FY 2017 Operations and Maintenance	SS	*	*	*	2016-10-01	*	2017-09-30	*	*	*

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.  
2010-07-01

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?  
yes

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

## Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Technology	Availability	% availability of ENOS application to end users	monthly	Percent of time available to users	Increase	TBD	2010-12-31
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	98.86%	TBD	Not Due	2011-03-04
			2012	98.87%	TBD	Not Due	2011-03-04
			2013	98.88%	TBD	Not Due	2011-03-04
			2014	98.89%	TBD	Not Due	2011-03-04
			2015	98.9%	TBD	Not Due	2011-03-04
			2016	Increase	TBD	Not Due	2011-03-04
			2017	Increase	TBD	Not Due	2011-03-04
Processes and Activities	Savings and Cost Avoidance	NARA's per-order cost for fixed-fee reproduction orders	annual	Per-order cost	Decrease	\$28.74	2006-12-31
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2007	Decrease	\$26.67	Met	2010-09-17

Technology	External Data Sharing	Percent increase in number of archival electronic holdings accessible online	2008	Decrease	\$30.59	Not Met	2010-09-17
			2009	Decrease	\$38.06	Not Met	2010-09-17
			2010	Decrease	\$40.49	Not Met	2011-02-25
			2011	Deactivated		Met	2011-03-04
			monthly	Percent increase over last year	Increase	13.09% increase from FY2005 to FY2006	2006-12-31
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2007	10%	-24.20%	Not Met	2010-09-17
			2008	Increase	8.16%	Met	2010-09-17
			2009	Increase	5.32%	Met	2010-09-17
			2010	Increase	12.49%	Met	2011-02-25
Customer Results	Delivery Time	Percent of fixed fee reproduction orders completed in 20 days or less.	2011	Deactivated		Met	2011-03-04
			monthly	Percent of fixed fee orders	Increase	85.9%	2006-12-31
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2007	85% of fixed fee reproduction orders completed in 20 days or	72%	Not Met	2010-09-17

Mission and Business Results	Information Management	Percentage of information per transaction managed via ENOS		less				
			2008	85% of fixed fee reproduction orders completed in 20 days or less	67.79%	Not Met	2010-09-17	
			2009	90% of fixed fee reproduction orders completed in 20 days or less	90.47%	Met	2010-09-17	
			2010	90% of fixed fee reproduction orders completed in 20 days or less	95.66	Met	2011-02-25	
			2011	Deactivated		Met	2011-03-04	
			annual	Percent of order transaction information managed by NAT	Increase	TBD	2010-12-31	
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated	
			2011	Increase	TBD	Not Due	2011-03-04	
			2012	Increase	TBD	Not Due	2011-03-04	
			2013	Increase	TBD	Not Due	2011-03-04	
			2014	Increase	TBD	Not Due	2011-03-04	
			2015	Increase	TBD	Not Due	2011-03-04	
			2016	Increase	TBD	Not Due	2011-03-04	
			2017	Increase	TBD	Not Due	2011-03-04	

Mission and Business Results	Customer Service	Percentage of NARA archival holdings described at the series or collection level in an online catalog.	monthly	Percentage of NARA archival holdings	Increase	50.65% Archival	2006-12-31
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2007	55% Archival; 55% Artifact; 55% Electronic	56.31% Archival; 56.90% Artifact; 99.06% Electronic	Met	2010-09-17
			2008	60% Archival 60% Artifact 60% Electronic	64.10% Archival 60.62% Artifact 97.76% Electronic	Met	2010-09-17
			2009	65% Archival, 65 % Artifact, 65 % Electronic	68.52% Archival 74.09% Artifact 94.78% Electronic	Met	2010-09-17
			2010	70% Archival, 70 % Artifact, 70 % Electronic	70.34% Archival, 77.65 % Artifact, 96.08 % Electronic	Met	2011-02-25
			2011	Deactivated		Met	2011-03-04
Customer Results	New Customers and Market Penetration	Percentage of total orders that are received online	quarterly	Percentage of total orders received by National Archives Trust Fund	Increase	TBD	2010-12-31
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	Increase	TBD	Not Due	2011-03-04
			2012	Increase	TBD	Not Due	2011-03-04
			2013	Increase	TBD	Not Due	2011-03-04
			2014	Increase	TBD	Not Due	2011-03-04
			2015	Increase	TBD	Not Due	2011-03-04

			2016	Increase	TBD	Not Due	2011-03-04
			2017	Increase	TBD	Not Due	2011-03-04
Processes and Activities	Innovation and Improvement	Types of order transactions available through ENOS	annual	Number of items offered for sale by NAT	Increase	TBD	2010-12-31
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	Increase		Not Due	2011-03-04
			2012	Increase		Not Due	2011-03-04
			2013	Increase		Not Due	2011-03-04
			2014	Increase		Not Due	2011-03-04
			2015	Increase		Not Due	2011-03-04
			2016	Increase		Not Due	2011-03-04
			2017	Increase		Not Due	2011-03-04

\* - Indicates data is redacted.